| File Numb | ber: 4-5909 020231 | 71 PERSONS | OMB APPROVAL OMB Number: 3235-0337 |
|-----------|----------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | porting period ended 31. 2001 SECUE | UNITED STATES UNITED STATES RITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 | Expires: July 31, 2003 Estimated average burden hours per full response 6.00 Estimated average burden hours per intermediate response 1.50 Estimated average burden hours per minimum |
| | | FORM TA-2 | response |
| RÉG | | ORTING ACTIVITIES OF TRANS ECTION 17A OF THE SECURITI | |
| | CON | ENTIONAL MISSTATEMENTS O STITUTE FEDERAL CRIMINAL 8 U.S.C. 1001 and 15 U.S.C. 78ff(a) | VIOLATIONS. |
| | | | |
| | I name of Registrant as stated in Que not use Form TA-2 to change name or addres | | |
| | pital Fund Services, | | |
| 2. a. | During the reporting period, has the (Check appropriate box.) | Registrant engaged a service company to p | erform any of its transfer agent functions? |
| | □ VII | Some None | |
| b. | If the answer to subsection (a) is a company(ies) engaged: | all or some, provide the name(s) and tra | nsfer agent file number(s) of all service |
| | Name of Transfer Agent(s): | | File No. (beginning with 84- or 85-): |
| | | | |
| | | | PROCESSED |
| | | | JUL 1 0 2002 |
| | | | THOMSON FINANCIAL |
| | | | |
| c. | During the reporting period, has the transfer agent functions? | Registrant been engaged as a service com | pany by a named transfer agent to perform |
| | Yes | ⊠ No | · |
| d. | | ervice company to perform transfer agent f | of the named transfer agent(s) for which the unctions: (If more room is required, please |
| | Name of Transfer Agent(s): | | File No. (beginning with 84- or 85-): |
| | | | |

| ٥. | a. | | | y agency (ARA): (Ch | ieck one dox only., | , | |
|-----|----------|----------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|
| | | 11 | C-1 A | | | | * |
| | | | r of the Currency | | | | • |
| | | | posit Insurance Cor | | | * | |
| | | | | leral Reserve System | • | | |
| | | Securities a | nd Exchange Com | mission | , e | | |
| | | | | • | | * | |
| | b. | | | | | 60 calendar days follog? (Check appropriate | |
| | | - 37 - | | | • | • | |
| | | | mendment(s) | | · | | • • • • • • • • • • • • • • • • • • • • |
| | | | o file amendment(s | 5) | | | |
| | | ▼ Not applica | ble | | | | |
| | | | | • | | | |
| | _ | If the answer to | subsection (b) is a | no, provide an explan | ation: | | |
| | ٥. | II the miswer to | 3 34030011011 (0) 13 1 | no, provide an explan | ation. | | |
| _ | | | | | | | |
| _ | | | | | | | |
| _ | | | | | | | , |
| - | | | | | | | ···· |
| _ | | | | | | _ | |
| | No | If | the response to | any of questions 4 | -11 below is nor | ne or zero, enter "(| 0." |
| • | | mber of items re | scalued for transfer | during the reporting | period: | | 0 |
| | 1.0 | unber of items re | eceived for transfer | during the reporting | period: | | 0 |
| | | | | | • | | |
| | | Total number of | of individual securi | ityholder accounts, in | cluding accounts in | the Direct Registration | on 7 032 |
| | | Total number of | of individual securi | ityholder accounts, in | cluding accounts in | | on 7 032 |
| - | a. | Total number of System (DRS) | of individual securi , dividend reinvesti | ityholder accounts, in ment plans and/or dire | cluding accounts in act purchase plans | the Direct Registrations of December 31: | on 7,032 |
| - | a. | Total number of System (DRS) | of individual securi , dividend reinvesti | ityholder accounts, in ment plans and/or dire | cluding accounts in act purchase plans | the Direct Registration | on 7,032 |
| | a. | Total number of System (DRS) Number of ind | of individual securi , dividend reinvesti ividual securityhol | ityholder accounts, in ment plans and/or dire der dividend reinvest | cluding accounts in ect purchase plans : ment plan and/or d | the Direct Registration as of December 31: | on 7,032 |
| | a. | Total number of System (DRS) Number of ind | of individual securi , dividend reinvesti ividual securityhol | ityholder accounts, in ment plans and/or dire | cluding accounts in ect purchase plans : ment plan and/or d | the Direct Registration as of December 31: | on 7,032 counts 6,839 |
| • | a. b. | Total number of System (DRS) Number of ind as of December | of individual securi , dividend reinvesti ividual securityhol r 31: | ityholder accounts, in ment plans and/or dire der dividend reinvest | cluding accounts in ect purchase plans a ment plan and/or d | the Direct Registration as of December 31: | on 7,032 counts 6,839 |
| | a. | Total number of System (DRS) Number of ind as of December | of individual securi , dividend reinvesti ividual securityhol r 31: | ityholder accounts, in ment plans and/or dire der dividend reinvest | cluding accounts in ect purchase plans a ment plan and/or d | the Direct Registration as of December 31: | on 7,032 counts 6,839 |
| • | a. b. | Total number of System (DRS) Number of ind as of December | of individual securi dividend reinvestr ividual securityhol or 31: | ityholder accounts, in ment plans and/or dire der dividend reinvest der DRS accounts as | cluding accounts in ect purchase plans a ment plan and/or d of December 31: | the Direct Registration as of December 31: | on 7,032 counts 6,839 |
| | a. b. | Total number of System (DRS) Number of ind as of December of ind Approximate p | of individual securi dividend reinvestr ividual securityhol or 31: | ityholder accounts, in ment plans and/or dire der dividend reinvest der DRS accounts as | cluding accounts in ect purchase plans a ment plan and/or d of December 31: | the Direct Registration as of December 31: | on 7,032 counts 6,839 |
| • | a. b. | Total number of System (DRS) Number of ind as of December | of individual securi dividend reinvestr ividual securityhol or 31: | ityholder accounts, in ment plans and/or dire der dividend reinvest der DRS accounts as | cluding accounts in ect purchase plans a ment plan and/or d of December 31: | the Direct Registration as of December 31: | on 7,032 counts 6,839 |
| - | a. b. | Total number of System (DRS) Number of ind as of December of ind Approximate p | of individual securi dividend reinvestr ividual securityhol or 31: | ityholder accounts, in ment plans and/or dire der dividend reinvest der DRS accounts as | cluding accounts in ect purchase plans a ment plan and/or d of December 31: | the Direct Registration as of December 31: | on 7,032 counts 6,839 |
| - | a. b. | Total number of System (DRS) Number of ind as of December Number of ind Approximate process of December 31: | of individual security dividual security holio rational security holio rational security holio percentage of individual security holio percentage of individual security holio rational security holio percentage of individual security holio recentage of individual security holio ratio rati | ityholder accounts, in ment plans and/or dire der dividend reinvest der DRS accounts as vidual securityholder | cluding accounts in ect purchase plans a ment plan and/or d of December 31: | the Direct Registration as of December 31: irect purchase plan acceptance | on 7,032 counts 6,839 O lowing categories as |
| - | a. b. | Total number of System (DRS) Number of ind as of December Number of ind Approximate processing December 31: | of individual security dividual security holer 31: | ityholder accounts, in ment plans and/or dire der dividend reinvest der DRS accounts as vidual securityholder | cluding accounts in ect purchase plans ament plan and/or d of December 31: accounts from sub | the Direct Registration as of December 31: irect purchase plan acceptance section (a) in the following Municipal Debt | on 7,032 counts 6,839 0 lowing categories as |
| | a. b. | Total number of System (DRS) Number of ind as of December of ind Approximate processes and December 31: | of individual security dividual security holer 31: | der DRS accounts as vidual securityholder Open-End Investment | cluding accounts in ect purchase plans ament plan and/or d of December 31: accounts from sub | the Direct Registration as of December 31: irect purchase plan acceptance | counts 6,839 |
| | a. b. | Total number of System (DRS) Number of ind as of December Number of ind Approximate processing December 31: | of individual security dividual security holer 31: | der DRS accounts as vidual securityholder Open-End Investment Company | cluding accounts in ect purchase plans ament plan and/or d of December 31: accounts from sub | the Direct Registration as of December 31: irect purchase plan acceptance section (a) in the following Municipal Debt | on 7,032 counts 6,839 Other |
| | a. b. | Total number of System (DRS) Number of ind as of December of ind Approximate processes and December 31: | of individual security dividual security holer 31: | der DRS accounts as vidual securityholder Open-End Investment | cluding accounts in ect purchase plans ament plan and/or d of December 31: accounts from sub | the Direct Registration as of December 31: irect purchase plan acceptance section (a) in the following Municipal Debt | on 7,032 counts 6,839 0 lowing categories as |
| i - | a. b. | Total number of System (DRS) Number of ind as of December of ind Approximate processes and December 31: | of individual security dividual security holer 31: | der DRS accounts as vidual securityholder Open-End Investment Company | cluding accounts in ect purchase plans ament plan and/or d of December 31: accounts from sub | the Direct Registration as of December 31: irect purchase plan acceptance section (a) in the following Municipal Debt | on 7,032 counts 6,839 0 lowing categories as |

6. Number of securities issues for which Registrant acted in the following capacities, as of December 31:

| a. | Receives items for transfer |
|----|-----------------------------|
| | and maintains the master |
| | securityholder files: |

b. Receives items for transfer but does not maintain the master securityholder files:

c. Does not receive items for transfer but maintains the master securityholder files:

| Corporate Securities | | Open-End Investment Company | Limited Partnership Securities | Municipal Debt Securities | Other Securities |
|-------------------------|------|-----------------------------------|--------------------------------|---------------------------------|---------------------|
| Equity | Debt | Securities | | | |
| 0 | 0 | 2 | 0 | 0 . | 0 |
| 0 | 0 | Ø | 0 | 0 | 0 |
| 0 | 0 | | 0 | 0 | 0 |

| | a. | Number of issues for which dividend | | | • : | 2 |
|------------|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|------------|
| | , | services were provided, as of Decem | | | | |
| | | Number of issues for which DRS ser | | | | |
| | c. | Dividend disbursement and interest | | | | 0 |
| | | i number of issues | | ••••••••••••••••••••••••••••••••••••••• | ················ | .0 |
| | | ii. amount (in dollars) | | | ······································ | |
| | | | | * | | _ |
| í., | a. | Number and aggregate market value | of securities aged record | differences, existing for mo | ore than 30 days, as | of |
| | | December 31: | | And the second of the second | F P | |
| | | | | | | |
| | | | | Prior | Current | |
| | | | | Transfer Agent(s) | Transfer Agent | • |
| | | | • | (If applicable) | . <u> </u> | |
| | | i. Number of issues | | | 0 | |
| | | ii. Market value (in dollars) | | | . 0 | |
| | | , | · · | | · | |
| | b. | Number of quarterly reports regardi | no huv-ins filed by the Re | gistrant with its ARA (inch | iding the | |
| | ٧. | SEC) during the reporting period pu | | | | |
| | | been during the reporting period pe | and the state in the life. | (-) | | |
| | c. | During the reporting period, did the | Pegistrant file all quarter | ly reports regarding buy-in | e with its ARA | |
| | C. | (including the SEC) required by Ru | | ly reports regarding buy-in | S WITH ITS FAICH | |
| | | (including the SEC) required by Ru | ie 17Au-11(c)(2): | | | |
| | * | ₩ Vee | | : | | · |
| | · · | ∑ Yes | □ No | | | |
| | | | | | | |
| | d. | If the answers to subsection (c) is no | o, provide an explanation | for each failure to file: | | |
| | | | | | | |
| | | | | | | |
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| | | | | | | |
| • | а | During the reporting period has the | e Registrant always been in | | | ine items |
| 9. | a. | During the reporting period, has the | e Registrant always been is | | | ine items |
| ₽. | a. | During the reporting period, has the as set forth in Rule 17Ad-2? | e Registrant always been in | | | ine items |
| Э. | a. | as set forth in Rule 17Ad-2? | | | | ine items |
| Э. | a. | 0 | e Registrant always been in | | | ine items |
| Э. | a. | as set forth in Rule 17Ad-2? Yes | □и₀ | n compliance with the turna | round time for rout | ine items |
| 9. | a. | as set forth in Rule 17Ad-2? Yes | □и₀ | | round time for rout | ine items |
| Э. | a. | as set forth in Rule 17Ad-2? Yes If the answer to | ☐ No subsection (a) is no, com | n compliance with the turns | round time for rout | ine items |
|) . | a. | as set forth in Rule 17Ad-2? Yes If the answer to i. Provide the number of months | ☐ No subsection (a) is no, com during the reporting perio | n compliance with the turns uplete subsections (i) through | round time for rout igh (ii). ras not in | |
|) . | a. | as set forth in Rule 17Ad-2? Yes If the answer to | ☐ No subsection (a) is no, com during the reporting perio | n compliance with the turns uplete subsections (i) through | round time for rout igh (ii). ras not in | |
| Э. | a. | as set forth in Rule 17Ad-2? Yes If the answer to i. Provide the number of months compliance with the turnaround | ☐ No subsection (a) is no, com during the reporting perio d time for routine items ac | n compliance with the turns uplete subsections (i) through the Registrant with the Reg | around time for rout agh (ii). | |
| 9. | a. | as set forth in Rule 17Ad-2? Yes If the answer to i. Provide the number of months compliance with the turnarounce with the turnarounce ii. Provide the number of written | □ No subsection (a) is no, com during the reporting perio d time for routine items ac notices Registrant filed du | n compliance with the turns splete subsections (i) through the Registrant was cording to Rule 17Ad-2 | round time for rout righ (ii). ras not in | |
| €. | a. | i. Provide the number of written SEC and with its ARA that rep | □ No subsection (a) is no, come during the reporting period time for routine items accomplished during the nortices Registrant filed during the norted its noncompliance w | n compliance with the turns splete subsections (i) through the Registrant was cording to Rule 17Ad-2 | agh (ii). Tas not in | |
| Э. | a. | as set forth in Rule 17Ad-2? Yes If the answer to i. Provide the number of months compliance with the turnarounce with the turnarounce ii. Provide the number of written | □ No subsection (a) is no, come during the reporting period time for routine items accomplished during the nortices Registrant filed during the norted its noncompliance w | n compliance with the turns splete subsections (i) through the Registrant was cording to Rule 17Ad-2 | agh (ii). Tas not in | |
| 9. | | i. Provide the number of months compliance with the turnaround it. Provide the number of written SEC and with its ARA that repitems according to Rule 17Ad- | No subsection (a) is no, come during the reporting perion d time for routine items accommotices Registrant filed durorted its noncompliance was | eplete subsections (i) through the two subsections (ii) through the Registrant was cording to Rule 17Ad-2 | agh (ii). Tas not in Tith the litine | |
| | , Nı | i. Provide the number of months compliance with the turnaround ii. Provide the number of written SEC and with its ARA that repitems according to Rule 17Adumber of open-end investment compa | No subsection (a) is no, come during the reporting period time for routine items aconotices Registrant filed durorted its noncompliance was any securities purchases ar | plete subsections (i) through the following to Rule 17Ad-2 | agh (ii). Tas not in Tith the litine | |
| | , Nı | i. Provide the number of months compliance with the turnaround ii. Provide the number of written SEC and with its ARA that rep items according to Rule 17Adumber of open-end investment compad distribution postings, and address of | subsection (a) is no, come during the reporting period time for routine items aconotices Registrant filed during the noncompliance was a securities purchases are changes processed during the subsection of the s | eplete subsections (i) through the reporting period with turnaround time for round redemptions (transaction the reporting period: | agh (ii). Tas not in Tith the litine | nd, intere |
| | . Ni an a. | i. Provide the number of months compliance with the turnaround it. Provide the number of written SEC and with its ARA that rep items according to Rule 17Adumber of open-end investment compad distribution postings, and address of | No subsection (a) is no, come during the reporting period time for routine items aconotices Registrant filed durorted its noncompliance was any securities purchases are changes processed during tessed: | plete subsections (i) through the reporting period with turnaround time for round redemptions (transaction the reporting period: | round time for rout righ (ii). ras not in rith the time s) excluding divide: | nd, intere |

8.

| | | securityholder accounts for which a database search s for which a different address has been obtained as a | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|------------------------------------------------------------------------------------------------------------|--|--|
| Date of Database Search | Number of Lost | Number of Different | | |
| | Securityholder Accounts Submitted for Database | Addresses Obtained from Database Search | | |
| e de la companya del companya de la companya del companya de la co | Search | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| h Number of lost security holde | r accounts that have been remitted to | ctates during the | | |
| | r accounts that have been remitted to | • | | |
| reporting period | *************************************** | | | |
| SIGNATURE: The Registrant subm | itting this Form, and the person signi | ng the Form, hereby represent that all the | | |
| | d in the Form is true, correct, and co | | | |
| | | | | |
| Manual signature of Official respons | sible for Form: | Title: | | |
| | | Vice President | | |
| 1 /10 | 0 - 4 | m () | | |
| June 100 | PI | Telephone number: 859 514-1623 | | |
| Name of Official responsible for For | an: | Date signed | | |
| (First name, Middle name, Last nam | | (Month/Day/Year): | | |
| | , | | | |

03/28/02

Diane Jo Snapp

11. a. During the reporting period, provide the date of all database searches conducted for lost securityholder accounts listed on